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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 09/472,062 | 12/23/1999 | TADASHI OHASHI | 1341.1037/JD | 8272 |

21171 7590 04/28/2003

STAAS & HALSEY LLP
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WASHINGTON, DC 20001

EXAMINER

NGUYEN, MAIKHANH

| ART UNIT | PAPER NUMBER |
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2176

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DATE MAILED: 04/28/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

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Office Action Summary

Application No.

09/472,062

Applicant(s)

OHASHI, TADASHI

Examiner

Maikhanh Nguyen

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 23 December 1999.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-11 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-11 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☒ All b) ☐ Some * c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 3.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

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DETAILED ACTION

1. This action is responsive to communications: original application filed 12/23/1999; IDS filed 12/23/1999.
2. Claims 1-11 are currently pending in this application. Claims 1, 6 and 9 are independent claims.

Priority

3. Acknowledgment is made of applicant's claim for foreign priority under 35 U.S.C. 119(a)-(d). The certified copy has been filed in parent Application No. 09/472,062, filed on 05/10/1999.

Claim Rejections - 35 USC § 112

4. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1-11 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claims 1, 6 and 9 recite the limitations:

- "the manager" (claim 1, line 11)

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- "the manager" (claim 6, line 7)
- "the manager" (claim 9, line 16)

There are insufficient antecedent basis for these limitations in the claims.

Dependent claims 2-5, 7-8, and 10-11 are also rejected for fully incorporating the dependencies of their parent claim.

Rejections - 35 USC § 102

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for the purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language; or " (Emphasis added.)

Claims 1-11 are rejected under 35 U.S.C. 102(e) as being anticipated by **Fritz et al.** (U.S. 6,134,552).

As to independent claim 1, Fritz discloses an integrated document management system (a management and storage system which can be integrated; col.3, lines 32-34) comprising:

- a storage unit (a storage mechanism; col.2, line 15) which stores therein a document database (a database; col.2, line 16) consisting of a plurality of documents based on a hierarchical structure (in a hierarchical structure; col.11, lines 8-15) and a

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management information database consisting of information indicating a relation between a document in an upper layer (the IR administration data contains information on the location of documents, their status, access rights, and the relations among documents; col.5, lines 64-67) and a document in a lower layer and a plurality of management information including information on a version number of each document (the management of objects such that different versions of the same object can be created and managed; col.3, lines 23-25);

- a server (a Web-based document server is the storage mechanism; col.3, lines 1-16) connected to said storage unit and provided with the manager of the documents; and

- a client connected via a network to said server and retrieves, by accessing said server, a document in the upper layer and a document in the lower layer each having a specified version number from the document database according to the management information (the client applications ...back to the client application; col.3, lines 17-26).

As to dependent claim 2, Fritz discloses the management information includes a collection of a plurality of documents on the same layer (what the document is logically about, i.e. it belongs to collection; col.6, lines 10-24) and information indicating each version number of the plurality of documents, and said client retrieves a plurality of documents on the same layer in a specified version number from the document database according to the management information by accessing said server (different versions ... within the same collection ... a process called multiple versioning; col. 6, lines 43-65).

As to dependent claim 3, Fritz discloses said server registers, when a document registered in the document database is updated, the updated document in the document database, and also updates the version number information in the management

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information concerning the document (to avoid simultaneous editing of a document ...must go through this Content Access agent and register ...A list of the documents ... are updated; col.7, lines 27-50).

As to dependent claim 4, Fritz discloses said client sends retrieval information for a retrieve document via the network to said server (the client applications can retrieve; col.3, lines 19-22), and said server sends, when a document corresponding to the retrieval information is updated, updating information concerning the updated document via the network to said client (A list of the documents ... are updated; col.7, lines 27-50) .

As to dependent claim 5, Fritz discloses the management information includes information concerning a security level corresponding to each of the plurality of documents and said server permits or inhibits retrieval of the document in correspondence to the security level (a control mechanism to prevent the simultaneous editing of an object ...refuse the request; col.2, lines 38-50).

Independent claim 6 is directed to a document retrieve device for performing the system of claim 1, and is similarly rejected under the same rationale.

However, claim 6 further recites "said document retrieval device retrieves a document in the upper layer."

Fritz discloses said document retrieval device retrieves a document in the upper layer (Internal relations are maintained and retrieved within the central IR Administration Data ... There are different classes of internal relations; col.9, lines 15-51).

Dependent claim 8 includes the same limitations as in claim 5, and is similarly rejected under the same rationale.

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Independent claim 9 is directed to a computer-readable recording medium for implementing the system of claim 1, and is similarly rejected under the same rationale.

Dependent claim 7 & 10 include the same limitations as in claim 2, and are similarly rejected under the same rationale.

Dependent claim 11 includes the same limitations as in claim 5, and is similarly rejected under the same rationale.

Conclusion

6. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

| | | |
|-----------------|--------------------------|-----------------------------|
| Nakagawa et al. | U.S Patent No. 5,819,295 | issued dated: Oct. 6, 1998 |
| Serbinis et al. | U.S Patent No. 6,314,425 | issued dated: Nov. 6, 2001 |
| Yehuda et al. | U.S Patent No. 6,266,683 | issued dated: Jul. 24, 2001 |
| Aoyama et al. | U.S Patent No. 6,493,732 | issued dated: Dec. 10, 2002 |
| Ishima et al. | U.S Patent No. 6,044,384 | issued dated: Mar. 28, 2000 |
| Hayashi et al. | U.S Patent No. 6,014,677 | issued dated: Jan. 11, 2000 |
| Suzuki et al. | U.S Patent No. 6,526,406 | issued dated: Feb.25, 2003 |
| Takayma | U.S Patent No. 6,477,528 | issued dated: Nov.5, 2002 |

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Maikhanh Nguyen whose telephone number is (703)306-0092. The examiner can normally be reached on Monday - Friday from 9:00am – 5:30 pm.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Joseph H Feild can be reached on (703)308-5186. The fax phone numbers for the organization where this application or proceeding is assigned are (703)308-5403 for regular communications and (703)308-5403 for After Final communications. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703)305-3665.

Contact Information:

Any response to this action should be mailed to:

Commissioner of Patents and Trademarks
Washington, D.C. 20231

Or fax to:

AFTER-FINAL faxes must be signed and sent to (703) 746-7238.

OFFICIAL faxes must be signed and sent to (703) 746-7239.

NON OFFICIAL faxes should be sent to (703) 746-7240.

All OFFICIAL faxes will be handled and entered by the docketing personnel. The date of entry will correspond to the actual FAX reception date unless that date is a Saturday, Sunday, or a Federal Holiday within the District of Columbia, in which case the official date of receipt will be the next business day. The application file will be promptly forwarded to the Examiner unless the application file must be sent to another area of the Office, e.g., Finance Division for fee charging, etc.

Hand-delivered responses should be brought to Crystal Park II, 2121 Crystal Drive, Arlington, VA., Sixth Floor (Receptionist). All hand-delivered responses will be handled and entered by the docketing personnel. Please do not hand deliver responses directly to the Examiner.

Maikhanh Nguyen
April 17, 2003

STEPHEN S. HONG
PRIMARY EXAMINER

